



INDIANA
WORKFORCE
DEVELOPMENT
AND ITS **WorkOne** CENTERS

TO: Indiana's Workforce Investment System

FROM: Teresa L. Voors *TV*
Commissioner, Indiana Department of Workforce Development

THROUGH: Dale Wengler *DW*
Deputy Commissioner, Policy and Field Operations

DATE: June 27, 2008

SUBJECT: DWD Policy 2007-43
WorkOne Managerial Structure and Functional Supervision Roles & Responsibilities

Purpose

To provide guidance to the WorkOne system on the managerial structure and functional supervision roles and responsibilities in integrated offices throughout Indiana

Contents

The operational framework of integration involves supervision of staff by functional supervisors, center managers, and other formal State supervisors. As a result of Indiana's integration efforts, the WorkOne system has adopted a functional supervision model in order to achieve the vision of full service integration and seamless service delivery. The Regional Operators and Indianapolis Private Industry Council (IPIC) are charged with overseeing the Indiana WorkOne system on a local level. As a result of this responsibility, the Regional Operator and IPIC shall serve as the final functional supervision authority in each applicable local area. In an effort to clarify the authority and responsibilities of this leadership team, the following guidelines are provided.

Functional Supervisor

The daily activities of the functional supervisor include, but are not limited to, the following:

- Schedule meetings and maintain minutes;
- Organize and maintain a schedule for staffing the WorkOne office;
- Direct and assign/reassign staff in his/her office based upon operational needs;
- Receive and respond to internal and external inquiries;
- Prepare training for all staff;
- Draft and submit reports required of the WorkOne partners;
- Monitor and track services provided in the WorkOne facility;
- Identify and facilitate the timely resolution of problems, complaints and other issues;

- Communicate with formal State supervisors on issues pertaining to State merit staff and State merit personnel actions; and,
- Collaborate with the center manager and formal State supervisor(s) to increase communication among each other and all staff in order to facilitate efficient and effective operations.

Center Manager

The daily activities of the center manager include, but are not limited to, the following:

- Schedule meetings and maintain minutes;
- Receive and respond to internal and external inquiries;
- Prepare training for all staff;
- Identify and facilitate the timely resolution of problems, issues, and risks;
- Communicate with formal State supervisor(s) on issues pertaining to State merit staff and State merit personnel actions; and,
- Collaborate with the functional supervisor and formal State supervisor(s) to increase communication among each other and all staff in order to facilitate efficient and effective operations.

Formal State Supervisor

The daily activities of the formal State supervisor(s) include, but are not limited to, the following:

- Hire State merit staff;
- Discipline and/or terminate State merit staff;
- Conduct performance appraisals for State merit staff;
- Approve schedule for State merit staff assigned to the WorkOne office;
- Approve State merit staff payroll;
- Approve State merit staff vacation and other leave requests;
- Approve State merit staff travel requests and reimbursements;
- Respond to formal and informal complaints of harassment or discrimination made by and/or against State merit staff;
- Schedule meetings and maintain minutes;
- Receive and respond to internal and external inquiries;
- Prepare training for all staff;
- Identify and facilitate the timely resolution of problems, issues, and risks;
- Administer Equal Employment Opportunity and Affirmative Action efforts required by state and/or federal law;
- Manage procurement and other fiscal matters that obligate State funding; and,
- Collaborate with the functional supervisor and center manager to increase communication among each other and all staff in order to facilitate efficient and effective operations.

State Merit Staff

The State supervisor is the sole contact for State merit staff on personnel matters, including compensation, personnel actions, terms and conditions of employment, performance appraisals, and accountability of State merit staff employees. Day-to-day operational and workflow matters, however, will be directed to all staff by the functional supervisor.

Examples of Integration & Execution of Supervisory Roles

Hours of Work/Work Schedule

Functional supervisors must:

- Determine operational needs and the work schedules necessary to meet those operational needs;
- Obtain approval from the formal State supervisor for the hours of work and work schedule proposed for State merit staff; and,
- Assign State merit employees to a schedule compatible with operational needs.

Formal State supervisors must:

- Cooperate with the functional supervisor to determine the hours of work and work schedules for State merit staff;
- Monitor subordinates to ensure they are working all scheduled hours and/or complying with any notice requirements for requesting use of accrued or other leave benefits; and,
- Take appropriate actions, including discipline, when a State merit employee fails to abide by the assigned schedule and/or the requirements of attendance and leave policies.

Holidays

Functional supervisors must:

- Determine the appropriate staffing needs for all holiday periods, including the day before and day after each holiday, and obtain approval from the formal State supervisor.

Formal State supervisors must:

- Notify State merit employees, functional supervisors and center managers of the annual holiday schedule in a timely manner;
- Cooperate with the functional supervisor to determine the appropriate staffing needs for all holiday periods, including the day before and day after each holiday;
- Allow the State merit employee to choose either payment or compensatory time off for working the day the holiday is observed; and,
- Not unreasonably deny a State merit employee's request for use of the compensatory time off chosen for a holiday.

Performance Appraisals

Functional supervisors must:

- Document and communicate State merit staff performance to the formal State supervisor to assist in measuring employee progress;

Formal State supervisors must:

- Translate the agency strategic plan into individual employee goals that are specific, measurable, achievable, and framed as outcomes or results;
- Meet with every State merit employee at least annually to set measurable performance goals and document the goals on the Work Profile;
- Provide regular, frequent coaching and feedback to State merit employees based on individual observations and functional supervisor input;

- Identify development needs of each State merit employee and establish plans to address those needs;
- Conduct an annual written performance appraisal pursuant to the policy and procedure established by the State; and,
- Conduct an interim performance appraisal whenever warranted, but in any case where performance issues indicate a work improvement plan is necessary, and when a State merit employee transfers, demotes or promotes.

Discipline

Functional supervisors must:

- Cooperate in any administrative investigations into allegations of misconduct.

Formal State supervisors must:

- Consistently implement and enforce all workplace rules and standardized policies;
- Monitor the performance and behavior of subordinates;
- Conduct or cooperate in any administrative investigations into allegations of misconduct;
- Recommend or impose discipline in accordance with laws, rules, and policies; and,
- Recommend pre-deprivation proceedings to the appointing authority or designee in accordance with laws, rules, and policies.

Harassment

Functional supervisors must:

- Comply with the prohibitions against harassment;
- Attend training on harassment annually and as required by the supervisor's employer;
- Not retaliate against any person for reporting a complaint; and,
- Cooperate in any investigations into allegations of harassment.

Formal State supervisors must:

- Distribute the *Policy Statement and Responsibilities & Procedures on Workplace Harassment Prevention* to subordinates;
- Comply with the prohibitions against harassment;
- Ensure subordinate staff attend training on harassment annually;
- Establish a workplace free of harassment by enforcing the provisions of this policy and acting promptly when prohibited conduct, objects, or pictures are discovered;
- Process any allegations of harassment brought to the formal State supervisor's attention;
- Not retaliate against any person for reporting a complaint under this policy; and,
- Implement any disciplinary or other action imposed as a result of an investigation into harassment.

Caveat

This policy is not all inclusive; rather, it serves as an example of the interactive nature of the functional supervisor, center manager, Regional Operator and formal State supervisor's roles. State merit employees with questions about the organizational structure of their office or their direct reporting authority should contact Human Resources at 317.232.7475.

Review Date

September 30, 2010

Ownership

Field Operations

Indiana Department of Workforce Development

10 North Senate Avenue

Indianapolis, IN 46204

Telephone: 317.233.6078

Effective Date

Immediately

Action

All WorkOne staff should be aware of the managerial structure and functional supervision roles and responsibilities in Indiana's integrated WorkOne offices which are explained in this policy.